

Proposed deletions are enclosed in [brackets]. New text is underscored.

**RULES  
OF  
NATIONAL STOCK EXCHANGE, INC.**

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**CHAPTER IV. Books and Records**

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**Rule 4.3. Record of Written Complaints**

(a) Each ETP Holder shall keep and preserve for a period of not less than [five] four years a file of all written complaints of customers and action taken by the ETP Holder in respect thereof, if any. Further, for the first two years of the [five] four - year period, the ETP Holder shall keep such file in a place readily accessible to examination or spot checks.

(b) [Upon receipt of such a complaint, a copy shall be forwarded promptly to the Exchange, and a report of the action taken thereon shall be so forwarded following the taking of such action.

(c)] A "complaint" shall mean any written statement of a customer or any person acting on behalf of a customer alleging a grievance involving the activities of an ETP Holder or persons under the control of the ETP Holder in connection with (1) the solicitation or execution of any transaction conducted or contemplated to be conducted through the facilities of the Exchange or (2) the disposition of securities or funds of that customer which activities are related to such a transaction.